



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/972,736         | 10/05/2001          | William Baughman      | 3271/50                |

29858  
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900 THIRD AVENUE  
NEW YORK, NY 10022

CONFIRMATION NO. 4456

## FORMALITIES LETTER



\*OC000000007043640\*

Date Mailed: 11/08/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

03/20/2002 SZEWDIE1 00000020 09972736

FILED UNDER 37 CFR 1.53(b)

01 FC:101 740.00 OP  
02 FC:105 130.00 OP

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

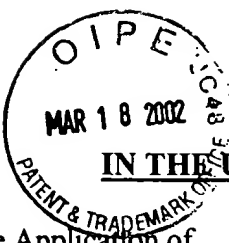
- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 870.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



Atty. Docket No.: 3271/50

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of : William Baughman et al.  
Appln. No. : 09/972,736 Examiner : To be Assigned  
Filed : October 5, 2001 Group Art Unit: 2164  
Title : INTEGRATED INVESTMENT PORTFOLIO MANAGEMENT  
SYSTEM AND METHOD

**BOX MISSING PARTS**

Commissioner for Patents  
Washington, D.C. 20231

COPY OF PAPERS  
ORIGINALLY FILED

BEST AVAILABLE COPY

**RESPONSE TO "NOTICE TO FILE MISSING  
PARTS OF APPLICATION--FILING DATE GRANTED"**

Sir:

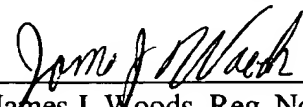
We have received a Notice To File Missing Parts of Application--Filing Date  
Granted mailed on November 8, 2001. We are returning herewith a copy of that Notice and  
executed declaration and power of attorney identifying the application by its serial number and  
filing date.

We are also enclosing herewith a check in the amount of \$1270.00 which includes  
surcharge fee (\$130.00), extension of time (\$400.00), and filing fee (\$740.00).

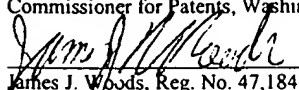
The Commissioner is hereby authorized to charge any additional fees which may  
be required or credit any overpayment to our Deposit Account No. 02-4270.

Respectfully submitted,

Dated: March 8, 2002

  
James J. Woods, Reg. No. 47,184  
BROWN RAYSMAN MILLSTEIN FELDER  
& STEINER LLP  
900 Third Avenue  
New York, New York 10022  
(212) 895-2000

I hereby certify that this paper is being deposited this date with the  
U.S. Postal Service as First Class Mail addressed to:  
Commissioner for Patents, Washington, D.C. 20231

  
James J. Woods, Reg. No. 47,184

3/8/02  
Date